

## 4100 – Senior Community Services Employment Program (SCSEP) - Participant Services

### 4101 - Overview

4101.1	This chapter provides an outline of the Division of Aging and Adult Services operational principles and procedures for the Senior Community Service Employment Program (SCSEP). <b>This policy chapter is subject to change as additional information and/or regulations and guidance are received from the U.S. Department of Labor. All sections of this policy chapter shall be administered uniformly to all participants</b>	
4101.2	SCSEP fosters useful community service through part-time work-based training opportunities for unemployed low income persons who are 55 years of age or older who have poor employment prospects and by assisting them to transition to unsubsidized employment.	
4101.3	The Division of Aging and Adult Services has overall responsibility of the administration of the SCSEP grant and is designated and referred to for purposes of this policy and procedure manual as the “grantee.”	
4101.4	The Division of Aging and Adult Services contracts direct delivery of SCSEP services to organizations designated and referred to for purposes of this policy and procedure manual as “sub-recipients.”	
4101.5	Eligible individuals may participate in SCSEP for a maximum of 48 months from the later of July 1, 2007 or the date of the individual's enrollment in the program.	
4101.6	SCSEP provides training opportunities to participants that lead to increased participant self sufficiency by:	
	A	Helping participants develop a sense of personal and occupational identity including defining realistic employment goals.
	B	Helping participants develop sufficient job related knowledge and skills so that they will not be confined to one job but can transfer to another as opportunities for advancement arise.
	C	Helping participants develop personal and social skills needed for successful job performance.
4101.7	D	Helping participants accept and utilize supervision needed for successful job performance.
	Sub-recipients will ensure that all participant and host agency related data is entered in the SCSEP Performance and Results QPR system (SPARQ).	
4101.8	Data entry will be in accordance with the most current version of the SCSEP Data Collection Handbook issued by the Charter Oak Group on behalf of the U.S. Department of Labor. The SCSEP Data Collection Handbook can be found at: <a href="http://charteroakgroup.com/resources/scsep.shtml">http://charteroakgroup.com/resources/scsep.shtml</a> ( <b>Exhibit 4100A</b> )	
4101.9	Documentation of data elements will be retained in the participant and host agency files in accordance with the SCSEP Data Collection Handbook.	
4101.10	Sub-recipients will ensure that not less than 75 percent of the SCSEP funds expended are used to pay for the wages and fringe benefits of participants.	
4101.11	At least 10% of the total cost of SCSEP activities consists of allowable costs paid for with non-Federal funds. There are two types of match:	
	A	<b>Non-Federal Cash.</b> In general, costs incurred by the contracted provider and cash contributions of any and all third parties involved in the project, including sub-grantees, contractors and consultants, are considered cash matching funds.
	B	<b>Non-Federal Non-Cash (i.e., In-Kind).</b> In general, most contributions from third parties will be non-cash (i.e., in kind) matching funds. Examples of non-cash (in-kind) match include: supervisory time from non-federal, non-cash funding and use of facilities to hold meeting or conduct project activities.
		The formula for calculating match is:  $\frac{\text{Federal Funds Received} \times \text{Match Rate (10\%)}}{\text{Federal Rate (90\%)}} = \text{Match Amount}$

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### **4102 - Authority and Statutory Requirement**

<b>4102.1</b>	The Senior Community Service Employment Program (SCSEP) is authorized and governed by the following statutes and regulations and federal policies:	
	<b>A</b>	Older Americans Act of 1965, as Amended in 2006, P.L. 109-365, Title V
	<b>B</b>	Workforce Investment Act of 1998: WIA section 121(b)(1)(B)(vi) (29 U.S.C. 2841(b)(1)(B)(vi); 29 CFR part 662 subpart B (§§662.200 through 662.280)
	<b>C</b>	Jobs for Veterans Act of 2002, P.L. 107-288, §4215
	<b>D</b>	Fair Labor Standards Act of 1938 (29U.S.C.201 et seq.)
	<b>E</b>	Americans with Disabilities Act of 1990, as amended 2008 (P.L. 110-325)
	<b>F</b>	Age Discrimination Act of 1975 (42 U.S.C. Sections 6101-6107)
	<b>G</b>	Age in Discrimination in Employment Act of 1967 (P. L. No. 90-202)
	<b>H</b>	Drug Free Workplace Act of 1988
	<b>I</b>	Rehabilitation Act of 1973 (§ 504)
	The following Code of Federal Regulations:	
	<b>J</b>	<b>1</b> 20 CFR Part 641 Senior Community Service Employment Program; Performance Accountability; Final Rule issued as part of the Federal Register: September 1, 2010 (Volume 75, Number 169)
		<b>2</b> 29 CFR 97.24 for governmental units
		<b>3</b> 29 CFR 95.23 for nonprofit and commercial organizations
	<b>K</b>	Training and Employment Guidance Letters (TEGLs) and Older Worker Bulletins as issued by the U.S. Department of Labor/Employment and Training Administration.
<b>4102.2</b>	Sub-recipients must comply with DAAS policy Chapter 1900, Section 1911.1(H) regarding fingerprinting requirements of SCSEP participants.	

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### **4103 – Operational Procedures for Recruitment and Selection of Eligible Individuals**

<b>4103.1</b>	Recruitment efforts targeting eligible individuals shall be designed, to the extent feasible, to assure that the maximum number of eligible individuals have an opportunity to participate in SCSEP.
<b>4103.2</b>	Sub-recipients are to recruit and enroll individuals who are eligible minorities, limited English speakers, American Indian, or who have the greatest economic need in proportion to their numbers in the service area.
<b>4103.3</b>	Recruitment efforts are to be in accordance with the annual Equitable Distribution Report which provides for the distribution of the authorized positions within the State, and the optimum number of participant positions in each designated area based on the latest available Census data. The Equitable Distribution Report will be adjusted at least annually based on a formula defined by the U.S. Department of Labor.
<b>4103.4</b>	Sub-recipients must use the <b>Arizona Workforce Connection</b> One-Stop Delivery System of their local workforce investment areas as one method of recruiting eligible individuals to ensure that the maximum number of eligible individuals will have an opportunity to participate in the project.

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### 4103 – Operational Procedures for Recruitment and Selection of Eligible Individuals (*continued*)

4103.5	Priority for selection of individuals for participation in SCSEP must be given to individuals who have one or more of the following characteristics:	
	A	Is a veteran or a qualified spouse of a veteran. Sub-recipients <b>must</b> apply the following priorities for selection purposes regarding applicants who meet the criteria of veteran or qualified spouse of a veteran:
		1 Persons who qualify as a veteran or qualified spouse under § 2(a) of the Jobs for Veterans Act, 38 U.S.C. 4215(a), and who possess at least one of the other priority characteristics
		2 Persons who qualify as a veteran or qualified spouse under § 2(a) of the Jobs for Veterans Act, 38 U.S.C. 4215(a), who do not possess any other of the priority characteristics
	B	is 65 years of age or older
	C	has a disability
	D	has limited English proficiency
	E	has low literacy skills
	F	resides in a rural area
	G	has low employment prospects
4103.6	H	has failed to find employment after utilizing services provided under Title I of the Workforce Investment Act of 1998
	I	is homeless or at risk of homelessness
	Detailed documentation must be entered into case notes and retained in the case file on how priority of selection was determined by the sub-recipient.	
4103.6	A	Sub-recipients <b>may</b> use the attestation forms provided in <b>Exhibits 4100B (Self) and 4100C (Third party)</b> as part of the documentation. <b>Participants with a Community Service Assignment as a Program Representative may <i>not</i> attest on behalf of an applicant/participant's for purposes of this program.</b>
	B	<b>Participants who are able to present official source documents that contain all of the information needed to validate data elements have no need to use the relevant attestation form for that element. Official source documents, if they contain the required elements, are, by themselves, sufficient to validate any individual piece of information below.</b> See Section 4105 for further details on Eligibility documentation.

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### 4104 – Operational Procedures to Determine Eligibility

4104.1	Eligibility is determined at the time an individual applies to participate in SCSEP. Individuals who are determined to be “job ready” are not eligible to be enrolled in SCSEP.
4104.2	For SCSEP eligibility purposes, “job ready” is defined as individuals who do not require further education or training to perform work that is available in their labor market. Appropriate documentation must be included in case notes and the applicant’s file describing how this determination was made.
4104.3	Applicants who are determined to be ineligible for SCSEP shall be given a reason for non-enrollment and, when feasible, should be referred to other potential sources of assistance. Recently laid off applicants are presumed to be job-ready and thus ineligible for SCSEP. SCSEP is solely for those applicants who need community service training in order to become job-ready. Job-ready applicants are to be referred to local One-Stop centers for job placement assistance under Workforce Investment Act (WIA) or another employment program.

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### 4104 – Operational Procedures to Determine Eligibility (*continued*)

4104.4	In order to be eligible for SCSEP, the following criteria must be met:	
	<b>A</b>	An individual is 55 years of age or older.
	<b>B</b>	A member of a family with a household income that is not more than 125% of the current U. S. Department of Health and Human Services Poverty Guidelines. "Family" shall be defined in accordance with Training and Employment Guidance Letter 12-06 or any TEGL or directive promulgated by the U.S. Department of Labor which supersedes it.
	<b>C</b>	For purposes of eligibility, income is defined as income received during the 12-month period that ends on the date of application, or the annualized income for the 6-month period that ends on the date of application.
		<b>1</b> Annual household income must be computed by counting the includable income received by the individual during the 12-month period ending on the date of SCSEP application or by counting the annualized income for the 6-month period on that date on a case-by case basis based upon which is more favorable to the applicant in determining eligibility.
		<b>2</b> An individual with a disability may be treated as a "family-of-one" for income eligibility purposes at the option of the applicant.
		<b>3</b> For current definitions and examples of income guidelines, see Training and Employment Guidance Letters and Older Worker Bulletins found on the U.S. Department of Labor's website at <a href="http://wdr.doleta.gov/directives/">http://wdr.doleta.gov/directives/</a>
		<b>4</b> The following are examples of income to be included in determining eligibility (based on the U.S. Census Bureau's Current Population Survey (CPS) definition of "income"):
		<b>a</b> Earnings
		<b>b</b> 75% of the gross amount of benefits received under Title II of the Social Security Act
		<b>c</b> Survivor benefits
		<b>d</b> Pension or retirement income
		<b>e</b> Interest income
		<b>f</b> Dividends
		<b>g</b> Rents, royalties, estates and trusts
		<b>h</b> Educational assistance
		<b>i</b> Alimony
		<b>j</b> Financial assistance from outside of the household
		<b>k</b> Other income
		<b>5</b> The following are examples of income that are to be excluded in determining eligibility:
		<b>a</b> Social Security Disability Insurance
		<b>b</b> Unemployment Insurance Benefits Compensation
		<b>c</b> Twenty-five percent of the gross benefit received under Title II of the Social Security Act
		<b>d</b> Payment made to or on behalf of veterans or former members of the Armed Forces under laws administered by the Secretary of Veterans Affairs
		<b>e</b> Supplementary Security Income
		<b>f</b> Public assistance
		<b>g</b> Income from other employment and training programs
		<b>h</b> Disability benefits
		<b>i</b> All forms of child support
		<b>j</b> Worker's Compensation
		<b>k</b> The first \$2000 of certain per capita fund distributions to Indians pursuant to the Indian Claims Act, P.L. 93-134 and P.L. 97-458
		<b>l</b> Any other income exception required by applicable Federal law – e.g., stipends from programs funded by the Senior Corps of the Corporation for National and Community Service
		<b>m</b> Capital gains people received (or losses they incur) from the sale of property, including stocks, bonds, a house, or a car (unless the person is engaged in the business of selling such property)
		<b>n</b> Withdrawals of bank deposits
		<b>o</b> Tax refunds
		<b>p</b> Gifts
		<b>q</b> Lump-sum inheritances, insurance payments, gambling and lottery earnings

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### 4104 – Operational Procedures to Determine Eligibility (*continued*)

4104.4	<b>D</b>	Resides in the state of Arizona upon enrollment
	<b>E</b>	Is unemployed upon enrollment
4104.5	Individuals may be dual eligible for SCSEP and Workforce Investment Act (WIA) funded programs. Eligibility for both programs (SCSEP and WIA programs) is to be explored for all SCSEP enrollees and participants.	
4104.6	Applicants determined eligible for enrollment but for which no appropriate community service assignment or authorized positions are available are to be placed on a SCSEP Performance and Results Quarterly (SPARQ) system Waiting List in accordance with the SCSEP Data Collection Handbook.	
4104.7	Background checks are to be conducted only when required by the host agency and are not to be used as a condition of eligibility.	

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### 4105 – Operational Procedures to Documenting Eligibility Determination

The determination of eligibility must be thoroughly documented in each participant's case file. Case notes must provide the justification for which eligibility was determined along with supporting documentation.

<b>4105.1</b>	<b>Documenting Proof of Age</b>	
	The following documents are acceptable for verifying the applicant's/participant's date of birth, including but not limited to:	
	<b>A</b>	Birth certificate
	<b>B</b>	DD-214 / Report of Armed Services Separation
	<b>C</b>	Driver's license
	<b>D</b>	Marriage license or divorce decree
	<b>E</b>	Federal, state or local identification card
	<b>F</b>	Passport
	<b>G</b>	Hospital record of birth
	<b>H</b>	Public assistance / social service records
	<b>I</b>	School records or ID card
	<b>J</b>	Work permit
	<b>K</b>	Cross match with Department of Vital Statistics
	<b>L</b>	Tribal records
	<b>M</b>	Social Security award letter
	<b>N</b>	Baptismal record
<b>4105.2</b>	<b>Documenting Size of Household</b>	
	Determining the size of the household of the SCSEP applicant is to be documented and summarized in the appropriate data fields of Participant Form ( <b>see Exhibit 4100D</b> ) in accordance with the SCSEP Data Collection Handbook and the Applicant's Confidential Statement of <b>Income (see Exhibit 4100E)</b> :	
	<b>A</b>	Verification of the number in family household (refer to TEGL 12-06 for definitions)
		The following documents are acceptable for verifying the applicant's/participant's number in family household, including but not limited to official government records or other official records, including:
		<b>1</b> HUD form
		<b>2</b> Lease
		<b>3</b> Beneficiary forms (to substantiate a spouse for a family size of 2)
	<b>4</b>	Signed attestation from a third-party who has knowledge of the participant's number in family and reflects the living situation at time of application.
	<b>B</b>	<i>Participant signed self-attestation is prohibited</i>



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### 4105 – Operational Procedures to Documenting Eligibility Determination (*continued*)

4105.2	C	To establish that a family-of-one is due to a disability, official government or other official records are acceptable, including but not limited to:		
		1	Receipt of Social Security Disability Insurance (SSDI), other Social Security Administration records	
		2	School records	
		3	Sheltered workshop certification	
		4	Social service records or referrals	
		5	Certification from a medical professional or medical records that establish specific facts that meet the regulatory definition are acceptable, including but not limited to:	
			A	Letter from Drug or Alcohol rehabilitation agency
			B	Medical records
			C	Physician's statement or certification from a medical professional
			D	Psychologist's diagnosis
			E	Rehabilitation evaluation
			F	Disability records
			G	Veteran's medical records
		H	Vocational rehabilitation letter	
	I	Worker's compensation record		
D	Signed attestation from a third-party (as opposed to a medical professional) is not acceptable in establishing family-of-one is due to disability.			
Documenting Calculation of Household Income				
A	The following documents are acceptable for verifying the applicant's/participant's income, including but not limited to:			
	Government records or other official records that establish the amount of income for the 6-month or 12-month look-back period are acceptable, including but not limited to:			
	1	Pay stubs		
	2	Social Security Award letters		
	3	Earning statements from employers		
	4	Pension statements		
	5	Bank statements showing interest		
B	Individuals who claim income of zero ("0") must complete the "Self-Attestation Form - Total includable family income (12 month or 6 month annualized)" (see Exhibit 4100B) and clearly explain how they have supported themselves during the income look-back period.			
C	All calculations including source of income used in the calculations are to be attached to the Applicant's Confidential Statement of Income for the period of eligibility being determined.			
D	Detailed case notes are to be entered and maintained in the applicant/participant file. Case notes are not acceptable for establishing "family-of-one is due to disability". To establish the number in family at the time of application, case notes must also detail:			
	1	Number in family as defined by TEGL 12-06, and		
	2	Rationale for accepting information from that individual without a signature.		

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### 4105 – Operational Procedures to Documenting Eligibility Determination (*continued*)

		<b>Documenting Residency</b>	
<b>4105.4</b>	<b>A</b>	Applicants/participants must have documentable proof of in-state residence. One or more of the following documents are acceptable for verifying the state of residence, including but not limited to:	
		<b>1</b>	Approved cross-border or multi-state agreements
		<b>2</b>	Driver's license or State, Federal or Tribal ID Card
		<b>3</b>	Home utility bill or other billing statement providing documentation of residence or mailing address (if different than address on license or ID)
		<b>4</b>	Document from a public or private institution (Independent Living housing, Community based Residence Facility or assisted living facility) or Housing Authority .
		<b>5</b>	Official government mail dated within the last 30 days
		<b>6</b>	Bank statement
		<b>7</b>	Social Security Statement
		<b>8</b>	Rental agreement
		<b>9</b>	Homeowners or rental insurance policy or statement
		<b>10</b>	Voter registration card
<b>4105.5</b>	<b>A</b>	Applicants/participants must have documentable proof of their employment status prior to enrollment. Employed individuals are not eligible for SCSEP. No participant may begin a job while enrolled in SCSEP. A participant who does so must be exited for unsubsidized employment. The following documents are acceptable for verifying the employment status of applicants, including but not limited to:	
		<b>1</b>	Record indicating firm date of separation from military service, unemployment insurance documents
		<b>2</b>	Notice of termination from employer
		<b>3</b>	Case notes detailing no employment at time of application
		<b>4</b>	Signed attestations. Using self-attestation, or signed attestation from a third-party who has knowledge of the participant's employment status prior to participation is acceptable to establish no employment at time of application ( <b>See Exhibit 4100B (self) and Exhibit 4100C (3<sup>rd</sup> party)</b> )
<b>4106 – Operational Procedures for Recertification of Participant Eligibility</b>			
Verification of continued income eligibility must be conducted annually (at a minimum) between the months of March and May of each program year for all active participants, or as circumstances require, including instances when enrollment is delayed.			
<b>4106.1</b>	Participants and their host agency supervisors shall be provided with written notification at least 30 days prior to the date the re-certification is scheduled to occur. The notification shall include a listing of the required documentation to be provided by the participant.		
<b>4106.2</b>	Re-certification shall be conducted in-person with the participant.		
<b>4106.3</b>	Participants who are determined during re-certification to be ineligible for continued enrollment shall be given immediate written notice that enrollment will be terminated 30 days after date of notice as described in Section 4114. When feasible, the participant should be referred to other potential sources of assistance.		
<b>4106.4</b>	Size of household and income eligibility determination during recertification is to be in accordance with sections 4105.2 and 4105.3 of this policy.		
<b>4106.5</b>	The Participant Form section “Recertification” is to be completed in its entirety and the data elements entered into SPARQ in accordance with the SCSEP Data Collection Handbook.		
<b>4106.6</b>	All recertification documentation is to become part of the participant’s case file.		



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### 4107 – Operational Procedures for Durational Limits

**EFFECTIVE NOVEMBER 1, 2011:** Eligible individuals may participate in SCSEP for a period not to exceed 48 months from date of enrollment. For participants who have a durational limit date of November 1, 2011 or later, there will be no waiver of durational limit. These participants must be exited from the program per Section 4115.1(E) of this policy.

**Sections 4107.1 – 4107.6 apply only to those participants who reach their durational limits prior to November 1, 2011.** Waivers to the durational limit of individual participation may request by the sub-recipient as outlined in Section 4107.2 and 4107.3 of this document. The 48-month participation time limit:

	<b>A</b>	Does not include time of participation prior to July 1, 2007
	<b>B</b>	Includes any and all enrollments a participant may have had with one or more grantees
4107.1	On an annual basis, sub-recipients must update the following waiver factors in SPARQ and document such action in case notes:	
	<b>A</b>	Severe disability
	<b>B</b>	Frail
	<b>C</b>	75 years of age or older
	<b>D</b>	Low literacy skills
	<b>E</b>	Old enough for, but not receiving, Social Security Title II
	<b>F</b>	Severely limited employment prospects in areas of persistent unemployment
	<b>G</b>	Limited English proficiency
4107.2	Participants may be eligible for a waiver of the 48 month durational limit for program eligibility. A 12-month waiver may be approved for the following factors 1) Severe disability <b>and/or</b> 2) Live in an area with persistent unemployment <b>and</b> are individuals with severely limited employment prospects.	
	<b>A</b>	<b>Severe disability</b> - Severe disability means a severe, chronic disability attributable to mental or physical impairment, or a combination of mental and physical impairments, that:
		<b>1</b> is likely to continue indefinitely; and
		results in substantial functional limitation in 3 or more of the following areas of major life activity:
		<b>A</b> self-care
		<b>B</b> receptive and expressive language
		<b>C</b> learning
		<b>D</b> mobility
		<b>E</b> self-direction
		<b>F</b> capacity for independent living
		<b>G</b> economic self-sufficiency
		Severe disability is to be documented in the case notes along with supporting documentation in the participant's case file.
		<b>When a medical professional certification or statement is used as support</b> , related documentation should be an official government record or other official record that (1) indicates that a medical professional made a determination of disability and (2) describes how the disability meets the regulatory definition, including but is not limited to:
		<b>3</b> <b>a</b> <b>1</b> medical records
		<b>2</b> certification from a medical professional
		<b>3</b> physician's statement
		<b>4</b> psychologist's diagnosis
		<b>5</b> rehabilitation evaluation
		<b>6</b> disability records
		<b>7</b> Veteran's medical records

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				8	Vocational rehabilitation letter
				9	Worker's Compensation record

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### 4107 – Operational Procedures for Durational Limits (*continued*)

4107.2	A	3	b	When a specific certification or statement is not used as support, official government or other official records may still be used as long as they establish how the disability meets the regulatory definition, including but not limited to:	
				1	Social Security Administration records
				2	school records
				3	sheltered workshop certification
				4	social service records or referrals
				5	community-based aging and disability organizations
				6	social service agency record or referral
				7	Independent Living Center statement
				8	letter from group home administrator
			9	referral from Vocational Rehabilitation	
	c	Medical professional certifications or statements must not merely conclude that a severe disability exists. They must clearly establish specific facts that meet the regulatory definition.			
	d	Receipt of SSDI is NOT sufficient to document severe disability.			
	B	Live in an area with persistent unemployment and are individuals with severely limited employment prospects. Both requirements (4107.2 (B)(1) and 4107.2 (B)(2)) must be met:			
		1	Area of Persistent Unemployment means that the annual average unemployment rate for a county or city is more than 20 percent higher than the national average for two out of the last three years.		
			If the county in which the participant resides does not meet the definition of persistent unemployment, the grantee may then determine whether the city of residence meets the definition. Use of other official sources, such as the state's Labor Market Information agency is permissible for this determination. The data for the past three years and the source of the data must be documented.		
			Severely limited employment prospects means a substantially higher likelihood that an individual will not obtain employment without the assistance of the SCSEP or another workforce development program.		
	2	Persons with severely limited employment prospects have more than one significant barrier to employment; significant barriers to employment may include but are not limited to: lacking a substantial employment history, basic skills, and/or English-language proficiency; lacking a high school diploma or the equivalent; having a disability; being homeless; or residing in socially and economically isolated rural or urban areas where employment opportunities are limited.			
Field 54 and 54a of the Participant Form must be completed in SPARQ. In addition to the self-attestation form "Severely limited employment prospects in Area of Persistent Unemployment"					
The two or more significant barriers to employment must be documented in the case file and in the comments sections, field 58 of the Participant Form in SPARQ.					
4107.3	To qualify a participant for a waiver, sub-recipients must submit a Request for Durational Limit Waiver (see Exhibit 4100F) to the DAAS Mature Worker Program Coordinator for approval before waiver will be granted. The waiver request must contain the following documentation:				
	A	The name of the participant and the SPARQ generated Participant Identification Number (PID)			

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4107.3	B	To request a waiver for persistent unemployment, the subrecipient must determine both of the following and provide detailed documentation:	
		1	The participant meets the definition of severely limited employment prospects (two or more significant barriers to employment that make it highly unlikely that the participant will find employment without the assistance of SCSEP or another workforce development program)
		2	The participant lives in an area of persistent unemployment

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### 4107 – Operational Procedures for Durational Limits (*continued*)

4107.4	The DAAS Mature Worker Program Coordinator will confirm all waiver request information and enter the request into the SPARQ utility to determine if a waiver factor has been updated in the appropriate time period.
4107.5	The request will then be submitted to the U.S. Department of Labor for final approval. If approved, SPARQ will indicate a 12-month extension of the durational limit.
4107.6	Case notes must be updated and include detailed documentation of the durational waiver request efforts. In addition to the standard requirements for all case notes, <b>to establish that <i>more than one significant barrier to employment exists</i></b> , case notes must also detail: (1) description of each of the significant barriers claimed, and (2) how it was determined that those barriers exist.

## 4100 – Senior Community Services Employment Program (SCSEP) - Participant Services

### 4108 – Operational Procedures for SCSEP Assessments

4108.1	Assessment and reassessment are essential for monitoring the progress of the participant and should be completed in accordance with the participant's Individual Employment Plan. Prior to enrollment, the applicant shall be provided with an overview to the program and formally assessed to determine gaps in employment skills prior to being assigned to a community service training opportunity as described in Section 4112.	
	A	Assessments must be completed no less frequently than two times during a twelve month period (including the initial assessment)
	B	The host agency supervisor's input is to be included on all re-assessments using the Host Agency Supervisor's Evaluation Form ( <b>Exhibit 4100G</b> )
4108.2	Assessments should be on-going and use formal and informal measures to evaluate the participant's performance, development, and potential. The assessments are essential for monitoring the progress of the participant and should trigger updating of the participant's training assignment and individual employment plan.	
4108.3	There are <b>two types of assessment</b> :	
	A	<b>Interviews, observations and documents</b> used to get a feel for participant's work behavior and ambitions, and to determine most-in-need factors. The sub-recipient should have the applicant complete the SCSEP Assessment Guide ( <b>Exhibit 4100H</b> ) Analysis of this information is the first step in evaluating the applicant's work history, potential need for supportive services and could indicate the existence of most – in-need factors (e.g. limited English proficiency).
	B	<b>Standardized measures</b> are designed to provide valid information on skills, interests, knowledge talents and aptitudes. It is advisable for sub-recipients to coordinate these assessments with qualified entities for proper evaluation purposes through the local One-Stop. Acceptable tools to be used include, but not limited to the following resources:
		1 Career OneStop ( <a href="http://www.careeronestop.org/">http://www.careeronestop.org/</a> )
		2 Onet ( <a href="http://online.onetcenter.org/">http://online.onetcenter.org/</a> )
		3 AARP Foundation WorkSearch ( <a href="http://aarpworksearch.org/pages/default.aspx">http://aarpworksearch.org/pages/default.aspx</a> )
4108.4	The assessment shall be in consultation with the applicant and must consider the following:	
	A	The individual's strengths and barriers to employment
	B	The individual's preference of occupational category, work history, skill gaps, talents, aptitudes, physical capabilities
	C	Need for supportive services
	D	Required training needed to overcome barriers and the potential for performing community service training assignment duties

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	<b>E</b>	Potential for transitioning to unsubsidized employment
<b>4108.5</b>		Sub-recipients are to assess and document information regarding <b>most-in-need</b> factors. The most-in-need measure reports the average number of barriers to employment per participant. The regulation allows credit for a total of 13 barriers to employment in two separate categories.
<b>4108.6</b>		The <b>first most-in-need category</b> is comprised of the eight (8) priorities of service as listed in 4103.5 of this policy document.
	<b>A</b>	Although age 65 and over is also a priority of service, it is not included in the most-in-need measure
	<b>B</b>	The 8 priorities of service listed in 4103.5 <b>are recorded only at the time of enrollment and may not be updated.</b> If a participant's conditions change during enrollment, record that fact in the comments section of the Participant Form, but <b>may not update any of these 8 fields in SPARQ.</b>
<b>4108.7</b>		The <b>second most-in-need category</b> is comprised of the following five (5) additional barriers to employment that are part of the waiver factors for the durational limit. They <b>may be entered into SPARQ whenever the sub-recipient becomes aware of them.</b>
	<b>A</b>	Severe disability
	<b>B</b>	Frail
	<b>C</b>	Old enough for SS retirement but not eligible to receive it
	<b>D</b>	Severely limited employment prospects in an area of persistent unemployment
	<b>E</b>	Age 75 and over
<b>4108.8</b>		Limited English Proficiency and Low Literacy Skills are also waiver factors in addition to being priorities of service. They are recorded with the priorities of service so that sub-recipients can provide appropriate services at the beginning of enrollment. They are only counted once for the most-in-need measure.
<b>4108.9</b>		All activity in relationship to assessments must be recorded in detail in case notes and maintained in the participant's file.

## 4109 – Operational Procedures for Enrollment

<b>4109.1</b>		Until an individual meets the criteria of a participant in 4109.7 they are to be considered an applicant. The following Equal Opportunity (EO) information must be attempted to be collected from all applicants regardless of their eligibility:
	<b>A</b>	gender
	<b>B</b>	ethnicity
	<b>C</b>	race
<b>4109.2</b>	<b>D</b>	disability
		An eligible individual shall have priority for enrollment into SCSEP, provided with a community service assignment and other authorized activities in accordance with Section 4103.5 (A-I)
		Before attempting to collect the information in Section 4109.1, the following disclosures must be made:
	<b>A</b>	The disclosure of the information is voluntary
<b>4109.3</b>	<b>B</b>	The refusal to provide the requested information will have no effect on any decision to provide services except where disability may be used to establish eligibility or priority of service
	<b>C</b>	The information will be kept confidential as required by law
	<b>D</b>	The information will be used only in accordance with the law
	<b>E</b>	The information will be used for statistical purposes, and disability status will be used to determine priority of service (and eligibility if applicant is claiming status as family of one)
<b>4109.4</b>		All applicants are to be informed that if they have a physical or mental impairment, they may request reasonable accommodation for the application process.
<b>4109.5</b>		If any of the host agencies to which applicants might be assigned has an affirmative action program for persons with disabilities, or a similar program designed to benefit persons with disabilities, applicants should also be informed that if they have one or more disability and are interested in benefiting from such programs, they should notify the sub-recipient.
<b>4109.6</b>		Sub-recipients should inform all participants that, if they have one or more disability and would like help deciding whether to disclose their disability status to the host agency, or if they would like the sub-recipient to make such a disclosure to the host agency on their behalf, they should notify the staff.
<b>4109.7</b>		An individual becomes a participant when all eligibility criteria is met and they are assigned a community service assignment with a host agency. A Community Service Assignment Form ( <b>Exhibit 4100I</b> ) must be completed and entered into SPARQ.

## 4109 – Operational Procedures for Enrollment (*continued*)

4109.8	The most current versions of the following documents shall be completed during enrollment and retained in the participant's file. Printed versions of forms posted on the Charter Oak Group website ( <a href="http://charteroakgroup.com/resources/scsep.shtml">http://charteroakgroup.com/resources/scsep.shtml</a> ) or from SPARQ are acceptable. All information required on the hardcopy forms must be included on the SPARQ printed versions, including required signatures, must be collected.	
	<b>A</b>	SCSEP Participant Form ( <b>Exhibit 4100D</b> )
	<b>B</b>	Applicant's Confidential Statement of Income ( <b>Exhibit 4100E</b> )
	<b>C</b>	Attestation Forms ( <b>Exhibits 4100B (Self) and 4100C (Third party)</b> )
	<b>D</b>	I-9 Employment Eligibility Verification ( <b>Exhibit 4100J</b> )
	<b>E</b>	Participant Handbook Acknowledgement sheet found in ( <b>Exhibit 4100K, Spanish 4100L</b> )
	<b>F</b>	Physical Examination Statement ( <b>Exhibit 4100M</b> )
	<b>G</b>	Applicable tax withholding forms
	<b>H</b>	All attestation forms completed as part of eligibility determination
	<b>I</b>	Detailed case notes summarizing the eligibility determination and enrollment activities including notation that the Involuntary Termination policy was verbally reviewed and a copy of such policy provided to the participant.
4109.9	In the event a participant is to be transferred from one SCSEP grantee or sub-recipient to another, the Transfer Policy issued by the U.S. Department of Labor shall be followed. The Transfer Policy is to be found at <a href="http://scsep-help.com">http://scsep-help.com</a>	
4109.10	For those individuals re-enrolling after termination from the SCSEP, eligibility must be determined as described in section 4104.	
4109.11	Should funding be available, sub-recipients may over-enroll eligible individuals in accordance with the priorities outlined in Section 4103.5. Over-enrollment levels may exceed the annual Service Level goal as determined by the U.S. Department of Labor.	
4109.12	All participants are to be treated equally. Durational limits must be applied equally to all participants. When over-enrolling participants, it is expected that sub-recipients will manage their grant so as to avoid any dislocation of participants.	
4109.13	<b>Re-enrollment</b> - Participants who have exited for any reason provided they are not job ready and meet other eligibility requirements may be considered for re-enrollment.	
	<b>A</b>	Re-enrollment is at the discretion of the sub-grantee. Former participants do not have an automatic right to re-enroll. The circumstances of the participants' prior exit from SCSEP, (e.g., whether they were terminated for cause, and whether they are now job ready) should be taken into consideration. Former participants who have had employment since leaving SCSEP may be presumed to be job-ready and thus ineligible. They should be referred to the One-Stop center.
	<b>B</b>	Participants seeking to re-enroll are subject to the priorities of service in effect at that time.
	<b>C</b>	Re-enrollment of a participant requires the completion of a new application for eligibility, Participant Form and Community Service Assignment Form.
	<b>D</b>	If there are no available slots or the re-enrolling participant is lower in priority than other applicants, the re-enrolling participant can be placed on a waiting list to be maintained in SPARQ.
	<b>E</b>	Re-enrollments within 90 days of exit must be recorded on the Unsubsidized Employment Form in accordance with the SCSEP Data Collection Handbook.
4109.14	<b>Right of Return</b> - Right of Return is limited to participants who exit for unsubsidized employment but do not achieve 30 days of employment within 90 days of exit. Individuals who meet the right of return criteria are allowed to return without being subject to priorities and preferences. Their exit is reversed.	
	<b>A</b>	A new Participant Form is not completed
	<b>B</b>	A returning participant must be assigned to a host agency, either the one the participant left or a new one.
	<b>C</b>	A new host agency assignment must be created even if reassigning to the old host agency.
	<b>D</b>	If there is no slot available at the time the participant seeks to return, the participant should be placed on an approved break in participation and given the next available assignment.
4109.15	For all enrollments, the sub-recipient is to determine which waiver factors for durational limits apply and code and update SPARQ accordingly.	



## 4100 – Senior Community Services Employment Program (SCSEP) - Participant Services

### 4110 – Policy and Operational Procedures for SCSEP Orientation

4110.1	<b>SCSEP orientation must be provided to all new enrollees within 10 days of enrollment.</b> Orientation must be provided to all new enrollees before they begin a community service assignment. Enrollees shall be compensated for their attendance if they meet the criteria of a participant as defined in 4109.7. Program orientation will be held during normal business hours and shall include review of the following:	
	<b>A</b>	Goals and objectives of the SCSEP
	<b>B</b>	Durational limits
	<b>C</b>	Causes for termination from SCSEP
	<b>D</b>	Community service assignments
	<b>E</b>	Available supportive services
	<b>F</b>	Availability of free physical examinations
	<b>G</b>	Participant's rights and responsibilities
	<b>H</b>	Assessments of enrollees employment skills, knowledge and abilities
	<b>I</b>	Individual Employment Plan ( <b>Exhibit 4100N</b> ) and plans for transition to unsubsidized employment
	<b>J</b>	Permitted and prohibited political activities
	<b>K</b>	An overview of the authorities listed in Section 4102 of this policy document
	<b>L</b>	Termination/Exit, Complaint and Grievance policy and procedures
4110.2	Orientation to the host agency must be provided to a participant before they begin a community service assignment. <i>Participants</i> shall be compensated for their attendance. Orientation to the host agency will be held during normal business hours and shall include the following:	
	<b>A</b>	Community Service assignment location, description, schedule, and supervisor's name
	<b>B</b>	Administrative procedures
	<b>C</b>	Plans for transition to unsubsidized employment
4110.3	Participants must be provided with the SCSEP Participant Handbook ( <b>Exhibit 4100K, Spanish 4100L</b> ) during the orientation.	
4110.4	Each participant must indicate that they have received the SCSEP Participant Handbook by signing the acknowledgement form. The signed and dated acknowledgement form is to be retained in the participants' program file with a copy provided to participant.	
4110.5	Case notes must be entered indicating orientation occurred and the participant attended.	

### 4111 – Operational Procedures for Individual Employment Plan (IEP)

4111.1	An <b>Individual Employment Plan (IEP) (Exhibit 4100N)</b> must be completed with each participant upon enrollment. Sub-recipients are to use the results of all assessments as a basis for developing an Individual Employment Plan (IEP). The IEP is an agreement between the participant and the SCSEP. All initial and revised IEPs are to be signed by SCSEP staff and the participant and retained in each participant's permanent file.	
	<b>A</b>	The IEP sets out <u>goals and action steps with specific deadlines</u> based on all assessments. The IEP is to be specific, measurable, attainable, relevant, and time limited. <u>The IEP shall be developed, and amended, in partnership and negotiated with the participant to reflect the actions steps to be achieved in order for the IEP goals to be met. Community Service Assignment Descriptions developed in collaboration with the host agency are to be based on the IEP (See Section 4112.2(D)(1)).</u> The action plan may include any or all but not limited to the following:
		<b>1</b> Pre-placement training
		<b>2</b> Supportive services
		<b>3</b> Occupational assessment
		<b>4</b> In-service training
		<b>5</b> Adult Basic Education
		<b>6</b> Job skills training <u>including on-the-job-experience</u>
		<b>7</b> Job search training
		<b>8</b> Job search
		<b>9</b> Transfer to a new assignment



## 4100 – Senior Community Services Employment Program (SCSEP) - Participant Services

### 4111 – Operational Procedures for Individual Employment Plan (IEP) (*continued*)

4111.1	<b>B</b>	Job skills training identified in the IEP must be linked to documentable labor market information and tied closely to the needs of the local labor market.
	<b>C</b>	The initial IEP is to identify an appropriate employment goal based on assessment of the participant and detailed labor market information. Thereafter, if in subsequent assessments the sub-recipient determines that the participant is not likely to obtain unsubsidized employment, the IEP must reflect approaches to help the participant achieve self-sufficiency, including transition to other services or programs.
	<b>D</b>	An initial assessment and IEP developed under Title I of the Workforce Investment Act will satisfy the requirement for an initial SCSEP assessment and initial SCSEP IEP.
	<b>E</b>	At a minimum, the participant's IEP shall be reviewed and revised at the completion of each identified milestone, quarterly from the date of the initial or latest IEP revision date, or more often if appropriate, for the following reasons:
		<b>1</b> To evaluate the progress of each participant in meeting the objectives of the IEP
		<b>2</b> To determine the participant's potential for transition to unsubsidized employment
		<b>3</b> To determine the appropriateness of the participant's current community service assignment
		<b>4</b> To review progress toward the participant's employment and training objectives
	<b>5</b>	To prepare a transitional IEP for participants approaching their durational limit. Transitional IEPs shall be initiated no later than one year prior to the participant's durational limit exit date.
	<b>F</b>	At the time of the IEP review, the following documents must be completed:
		<b>1</b> Participant Evaluation ( <b>Exhibit 4000K</b> )
		<b>2</b> Host Agency Supervisor Evaluation Form ( <b>Exhibit 4000L</b> )
		<b>3</b> Assessment results, if appropriate
		<b>4</b> Revised IEP, if appropriate
	<b>G</b>	The sub-recipient, through reassessment of the participant's progress toward meeting their IEP goal of unsubsidized employment, is to determine the point where the participant is to enter job search as an IEP action step. Participants with "job search" as an action step must register with the Arizona Workforce Connection One-Stop system. This registration is to be validated by the sub-recipient and noted in the participant's case notes and permanent file.
	<b>H</b>	All IEP reviews including associated reassessments are to be documented in case notes of the participant's file and maintained as part of the participant's permanent record.
	<b>I</b>	The original and all subsequent revised IEPs shall be maintained in the participant file. A copy of the initial and each revised IEP shall be distributed to the following persons:
		<b>1</b> Participant
	<b>2</b>	Participant's Community Service Assignment supervisor (as long as there is no identifiable health related information on the IEP)
	<b>J</b>	Should the participant refuse to complete activities consistent with his/her IEP, the participant may be terminated as described in Section 4115.2.
4111.2	Participants can be reassigned if, based on the IEP, a different placement will provide one or more of the following:	
	<b>A</b>	Greater use of participant's skills and aptitudes
	<b>B</b>	Work experience or training that will enhance unsubsidized placement potential
	<b>C</b>	Otherwise serve a participant's best interests
4111.3	Reassignment of a participant to another community service assignment must be documented in the participant's file case notes and include the following:	
	<b>A</b>	SCSEP staff will be responsible for assessing the participant's IEP progress and reassigning the participant to another community service assignment, if necessary. The following factors shall be considered:
		<b>1</b> The participant's progress in meeting his or her IEP goals
		<b>2</b> The participant's skills and aptitudes
	<b>3</b>	The nature and location of the participant's assignment

## 4100 – Senior Community Services Employment Program (SCSEP) - Participant Services

		4	The participant's general performance, age, and health
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## 4100 – Senior Community Services Employment Program (SCSEP) - Participant Services

### 4112 – Operational Procedures for Participant Training

4112.1	Only those individuals who meet the definition of “participant” as defined in Section 4109.7 are eligible to receive SCSEP services.				
4112.2	The SCSEP provides training opportunities to participants that lead to increased participant self-sufficiency. All community service assignment hours as well as other training hours must be entered into SPARQ on a quarterly basis in time for the U.S. Department of Labor to process quarterly program data.				
	A	Sub-recipients may pay for participant training including the payment of reasonable costs of instructors, classroom rental, training supplies, materials, equipment and tuition.			
	B	Participants who have a community service assignment may be provided the following training opportunities which are to be realistic and consistent with the participant’s IEP:			
		1	Community service job training		
		2	Specialized Training		
		3	On-the-Job Experience		
		4	Skills training		
		5	Classroom training		
		6	Lectures		
		7	Seminars		
		8	Individual instruction		
		9	Training through, or in coordination with other employment and training programs and/or colleges		
	10	Self development training			
	C	Participants shall not be required to pay for SCSEP training. Workers’ Compensation provided for participants must include coverage for all community service activities.			
	D	SCSEP training is provided through the following activities:			
		1	<b>Community Service Assignment</b> Training may be provided before or during a community service assignment. A community service assignment based on the participant’s IEP must exist for any program services and training to occur. Individuals who have exited the program are not eligible for SCSEP funded training or other services unless a part of the follow-up process and will be determined on a case-by-case basis . An individual without a community service assignment is not a participant and not eligible to receive program services. Community Service Assignment Form data ( <b>Exhibit 4100I</b> ) must be completed and entered into SPARQ when an assignment to a host agency is made or has ended.		
			a	Community service training is provided through a host agency and offers the participant an opportunity to receive the needed skill training detailed in their assessments and IEP.	
			b	Community Service training is a participant-friendly approach to serving those who are most in need. Community service training is practical, working with real tasks, with actual equipment and dealing with current issues.	
				Community Service training is developed with the SCSEP staff, the participant and the host agency supervisor and documented on the SCSEP Community Service Assignment Description Form ( <b>Exhibit 4100O</b> ). Community Service Assignment Descriptions are not job descriptions. Each Community Service Assignment Description is to be tailored to each participant and must contain the following:	
			c	1	Community Service Assignment Description forms are to be completed and distributed prior to the first day of starting the assignment.
				2.	A detailed description of the specific competencies to be attained.
				3	Methodology to be used to measure and document assessment to determine progress toward attainment of competencies.
				4	Intervals of assessment to measure progress toward attainment of the stated competencies.

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4112.2	D	1	5	Who will conduct the assessments
			d	Participants may be transferred to different community service assignments to obtain additional skills. Transfers will be in consultation with the participant and host agency supervisor and based on the IEP. The consultation must be documented in case notes.
			e	Additional skill training is permitted and may be combined with each other and/or with job search activities or job clubs.
			f	In the event that an appropriate host agency cannot be found for a community service assignment for an existing participant, the sub-recipient is to consider the following circumstances in determining the course of action:
				1 If the participant is at fault and thus cannot remain at the host agency due to his/her actions or behavior (disruptive, insubordinate, abusive, or similar behavior), the participant can be terminated for cause in accordance with Section 4115(G).
				2 If the participant is not at fault but has difficult personal circumstances to accommodate, the participant can be placed on an approved break in accordance with Section 4114.3 while the sub-recipient attempts to identify an appropriate host agency assignment. Once an appropriate assignment is identified, the participant can be reassigned.
				3 If after a reasonable effort in which the sub-recipient remains in contact with the participant to communicate actions taken (and noted in case notes), the sub-recipient may fill the participant's position while leaving the participant on approved break while continuing to seek an appropriate host agency.
				4 If it appears that no appropriate host agency can be secured, the participant may choose to exit for personal reasons.
				5 "Administrative Reasons" is not to be used as an Exit reason.
			<b>General</b>	
			<b>General Training</b>	
			General training is designed to enhance or refresh a participant's basic skills. It includes skills training, classroom training, lectures, seminars and individual training.	
			2	
			a	General training must be consistent with the participant's IEP and the costs are reasonable and made uniformly available to all participants.
			b	General training may be combined with other training activities, such as community service, specialized training, on-the job experience, or other general training options.
			<b>Specialized Training</b>	
			Specialized training is designed to prepare a participant for a particular job or industry.	
			a	The participant's assessment, IEP and assignment determine the training and skills needed to enhance the participant's opportunity to obtain unsubsidized employment. At the end of the training, and consistent with the IEP, the participant may be placed into job search or job club, directly into unsubsidized employment, back into a community service assignment or entered into an on-the – job experience.
			b	The subrecipient may elect to enroll the participant in a customized training class through a workforce partner, an educational institution or other training vendor. In this instance, a training contract must be negotiated with deliverable timelines and specific skills learned.
			3	
			c	Specialized training may be combined with other training activities, such as community service, classroom training, lectures, seminars, individual instruction, or on-the-job experience.
			d	Training may be provided through the subrecipient, a workforce partner, an educational institution, or other training vendor.
			e	A contract must be negotiated with the provider if the provider is not the subrecipient
			f	The contract must detail the curriculum, including specific skills to be learned, the deliverable timelines, and payment responsibilities.
			g	Subrecipients are to notify the grantee of all specialized training considered prior to implementation.
			h	Individuals considered for specialized training are eligible SCSEP participants.
			i	The training must be consistent with the participant's IEP.
			j	The training cost must be reasonable and applied to ensure uniformity of service to all participants.

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4112.2	E	4	<b>On-The-Job-Experience (OJE)</b> OJEs are designed to give both the participant and the employer a trial and to provide additional training to ensure the success of the unsubsidized employment. OJEs are suitable for participant's whose IEP may show a goal of obtaining an unsubsidized job with a public or private employer that requires specific skills that are not attainable through the regular community service assignment.  Participants selected for OJE must have documented assessments that indicate fairly minor skill gaps that can be filled in a short time (not to exceed the length of the OJE) with an employer.	
			a	Sub-recipients may enter into an OJE relationship with qualified employers based on the following models: <b>reimbursement</b> or <b>direct pay</b> . Once a model, rate and length of the OJE has been determined it cannot be changed once it is entered into a signed OJE agreement. Sub-recipients will use OJE Training Plan (see Exhibit 4100U) and OJE Agreements (see Exhibit 4100V- Reimbursement and Exhibit 4100W-Direct Pay)
			b	<b>Reimbursement Model:</b> An employer may be reimbursed for the wages earned by each participant and associated workers compensation costs during the OJE training period. Reimbursement rates, will be one of the following:
				1 100% reimbursement for a period not to exceed four (4) weeks at a minimum of 20 hours per week, not to exceed 40 hours per week based on available funding.
				2 50% reimbursement for a period not to exceed twelve (12) weeks at a minimum of 20 hours per week, not to exceed 40 hours per week based on available funding...
			c	3 Payment to employers is to be managed by an invoice system that clearly documents the number of hours worker each day by the participant and the rate of pay for the time period. Invoices must be signed by both the participant and the employer or only by the employer if accompanying documentation (timesheets/timecards) is signed by the participant and reconciled to the invoice.
				<b>Direct Pay Model:</b> Sub-recipients may directly pay the OJE participant's wages during the OJE training experience. Direct pay may not exceed a period of four (4) weeks at a minimum of 20 hours per week, not to exceed 40 hours per week based on available funding.. The sub-recipient is responsible for 100% of workers compensation in this model.
			d	<b>OJE Guidelines:</b>
				1 Participants <u>must</u> complete a <u>minimum of two weeks</u> at a community service assignment prior to being eligible for an OJE. Eligible participants will be determined to be "OJE-ready" based on documented assessments. Results of assessments and justification for OJE noted in the participant's IEP, corresponding case notes will be maintained in the participant's file.
				2 OJEs are paid for with Enrollee Wage and Fringe (EWF) funds. Participants are to be reimbursed at the prevailing wage.
				3 Each subrecipient may exercise the OJE training option with the same employer, but no more than five (5) times per year for eh same job category.
				4 A participant must remain assigned to a host agency during the OJE period in order to receive any SCSEP services, including training.
				5 Each subrecipient may exercise the OJE training option with the same employer, but no more than 5 times per year for the same job category. <b>Active host agencies are not eligible to participate in OJEs.</b> An active host agency is an organization that currently provides service to any SCSEP participant.
				6 OJEs shall not to exceed 40 hours per week.
				7 All OJE assignments are based on the participant's IEP and included in the IEP case notes
				8 OJE assignments must pay the participant the prevailing wage for the job to be performed. It is expected that OJEs will be entered into for positions with a wage above minimum wage. Subrecipients must ensure that they maintain sufficient funding to meet all performance measures. Payment of worker's compensation is to be negotiated with each employer except when the Direct Payment model is used.
				9 The employer must agree to assurances that participants will be treated like new employees.

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4112.2	E	4	d	10	OJEs are not considered placements into unsubsidized employment. The start work date on the Unsubsidized Employment Form should be the first day on the employer's payroll after the OJE has ended and the participant has exited.
				Identifying employers for OJE – the subgrantee will target employers for OJEs who demonstrate the following:	
			e	1	Commitment to hiring mature workers including a pledge to hire the OJE participant at the start of the OJE
				2	A willingness to develop an informal training program to meet the needs of the OJE participant
				3	Commitment to maintain records on the OJE skills attainment consistent with the contract provisions
				4	Demonstrated adherence to all applicable safety and health requirements of the state and local jurisdiction and no recent history of violations (self attestation by employer)
				5	A commitment to retain the OJE participant as an employee after the OJE reimbursement period has ended.
				6	A commitment to allow follow-up by SCSEP staff with the placed participant during and after the OJE period.
			f	OJE Training Plan – a training plan will be incorporated into each contract with an employer. The training plan will outline the skills to be developed and the methods to be used to develop those skills. Training plans will be individualized and based on the participants needs as reflected in the IEP. The specific content will be tailored to the individual participant needs and employer expectations. The training plan will provide sufficient detail to ensure skill attainment is tracked.	
				Documenting OJEs – all OJE activity is to be documented to the fullest extent possible in each participant file. At a minimum, the participant file must contain the following documents:	
			g	1	OJE Employer Contract
				2	OJE Training Plan
				3	Assessment results and Individual Employment Plan indicating the OJE as an activity
				4	Detailed case notes indicating the justification for the OJE based on assessments and employer training suitability
				5	The sub-recipient is responsible to ensure compliance with all OJE requirements as mentioned in the SCSEP Data Collection Handbook, Older Worker Bulletin 04-04, rules and regulations as they pertain to SCSEP on-the-job experience assignments.
The SCSEP provides coordination with other training and placement programs through the Workforce Investment Act (WIA) One-Stop System. The WIA creates a seamless service delivery system for individuals seeking workforce development services by linking the One-Stop partners in the One-Stop Delivery System.					
4112.3	A	The SCSEP is a required partner program under the Workforce Investment Act (WIA). As such, it is a part of the One-Stop Delivery System. SCSEP grantees are required to follow all applicable rules under WIA and its regulations.			
	B	SCSEP sub-recipients are to coordinate with the local One-Stop Delivery System to provide eligible and ineligible individuals with access to other activities and programs carried out by other One-Stop partners.			
Participants may not be forced to use their own vehicles for community service activities. If a participant does use their own vehicle for any community service related activity:					
4112.4	A	The sub-recipient must verify the participant has a valid driver's license and liability insurance.			
	B	The participant meets all safety requirements of the sub-recipient for use of a personal vehicle.			
4112.5	All participant training related activities are to be documented in case notes and maintained as part of the participant's permanent file.				



## 4100 – Senior Community Services Employment Program (SCSEP) - Participant Services

### 4113 – Policy and Operational Procedures for Supportive Services

<b>4113.1</b>	Sub-recipients are required to assess all participants' need for supportive services and to make every effort to assist participants in obtaining needed supportive services.
<b>4113.2</b>	Sub-recipients may provide directly or arrange for supportive services that are necessary to enable a participant to successfully participate in SCSEP, including but not limited to payment of reasonable costs of:
	<b>A</b> Transportation
	<b>B</b> Health and medical services
	<b>C</b> Special job-related or personal counseling
	<b>D</b> Incidentals such as work shoes, badges, eyeglasses and tools
	<b>E</b> Dependent Care
	<b>F</b> Housing including temporary shelter
	<b>G</b> Needs related payments
	<b>H</b> Follow-up services
<b>4113.3</b>	Support services are funded through the Other Participant Costs (OPC) funding category. To the extent practicable, the sub-recipient should arrange for the payment of these expenses from other resources.
<b>4113.4</b>	The need for any supportive services is to be consistent with and documented in the participants IEP and in case notes with appropriate supporting documentation (formal assessments, etc.) including the justification, cost and source of the service and the length of time the service for which the service is authorized.
<b>4113.5</b>	Sub-recipients are to ensure participants understand that supportive services are not an entitlement for the length of participation.
<b>4113.6</b>	Any supportive service request exceeding \$500 must be requested in writing by the participant and maintained in the participant's program file. The request, submitted on the Request for Supportive Services form ( <b>Exhibit 4100P</b> ), is to include the following:
	<b>A</b> How the service will contribute toward enabling the participant to successfully participate in SCSEP
	<b>B</b> Other attempts to secure this service
	<b>C</b> Length of time of service need
	<b>D</b> Signature of the authorized sub-recipient representative approving or disapproving the request
<b>4113.7</b>	All supportive services are to be made available on an equitable basis to all participants within a sub-recipient's area of service.
<b>4113.8</b>	Sub-recipients may use SCSEP funds to meet obligations under § 504 of the Rehabilitation Act of 1973 as amended, and the Americans with Disabilities Act of 1990 as amended and any other applicable federal disability nondiscrimination laws to provide physical and programmatic modifications accessibility and reasonable accommodation/modifications for and effective communication with individuals with disabilities.
<b>4113.9</b>	To ensure successful placement, sub-recipients may provide supportive services to a participant placed in unsubsidized employment during the first 12 months of unsubsidized job placement to facilitate retention by determining if the individual has the necessary supportive services to remain in the job. The sub-recipient may provide or arrange to provide such services if feasible.

### 4114 – Operational Procedures for Wage and Fringe Benefits

<b>4114.1</b>	Training wages are provided to participants assigned to a community service agency.
	<b>A</b> Upon community service assignment, a participant shall receive a training wage consistent with the current minimum wage, unless designated as a Program Representative. Program Representatives receive a training wage of \$9.00 per hour.
	<b>B</b> All participants must complete, sign, and submit timesheets and leave requests to the host agency supervisor for signature. Sub-recipients and host agency supervisors may also request that participants keep a log of specific tasks completed during each pay period.
	<b>C</b> All timesheets are to be reviewed by the sub-recipient for accuracy and compliance with the intent of the program prior to being submitted for payment.
	<b>D</b> Timesheets must also include the following elements:
	<b>1</b> Name and signature of the participant



## 4100 – Senior Community Services Employment Program (SCSEP) - Participant Services

4114.1	D	2	SPARQ-generated participant identification number (PID)				
		3	Name of the host agency				
		4	Timeframe of pay period				
		5	Daily hours in community service assignment. Hours do not include time taken for lunch				
		6	Daily hours in other SCSEP approved/funded training. Hours do not include time taken for lunch				
		7	Approved leave requests and/or sub-recipient approved extended hours of training in any given pay period.				
		8	Community service assignment supervisor signature. An authorized signature of the host agency staff may substitute in the absence of the community service assignment supervisor. All host agency authorized signatures must match those on the Host Agency Agreement.				
		9	Authorized signature of the sub-recipient indicating acceptance of the timesheet				
4114.2	If timesheets are submitted to the sub-recipient prior to the end of the pay period in order to meet payroll processing deadlines, the sub-recipient <b>must</b> verify with the host agency that the participant was in fact onsite and performed their community service assignment activities for the hours indicated on the timesheet. Verification is to be documented in the case notes in the participant's program file.						
4114.3	The following fringe benefits shall be administered uniformly to all participants:						
	A	Workers' Compensation coverage equal to that provided by law for covered employment.					
	B	Offer of annual physical examination. The Physical Examination Statement ( <b>Exhibit 4100M</b> ) must be completed and entered into the participant's program file. The sub-recipient is <u>not</u> entitled to a copy of the results of the physical and should <u>not</u> maintain a copy in the participant file. The results are the property of the participant only.					
	C	Sub-recipients must provide compensation uniformly to participants for scheduled hours during which a host agency's business is closed for a federal holiday. The following are recognized federal holidays:					
		•	New Year's Day	•	Martin Luther King/Civil Rights Day	•	President's Day
		•	Memorial Day	•	Independence Day	•	Labor Day
		•	Columbus Day	•	Veteran's Day	•	Thanksgiving Day
		•	Christmas Day				
		1	For each of the holidays listed above where the host agency's business is closed and the participant had community service hours scheduled on those days, the participant is to reschedule their community service assignment hours for that day with their host agency and/or other training time with the sub-recipient to accommodate the hours for which they would have been normally compensated on the day of the holiday.				
		2	If the host agency is closed on additional holidays (e.g. the day after Thanksgiving), the participant shall have the opportunity to make up those hours consistent with 4114.3 (C)(1).				
		3	A participant may elect not to reschedule their hours. If they choose to do so, this must be documented in case notes. The participant will not be compensated for hours not rescheduled.				
		4	In the event a host agency cannot accommodate the participant's rescheduled holiday hours as described in 4114.2 (C)(1) the sub-recipient is to arrange for approved activities for the participant that are consistent with their IEP. These activities are to be added to the IEP and noted in case notes.				
		5	All holiday hours must be accounted for within the pay period for which the holiday takes place.				
	D	Sub-recipients are to provide sick leave that is not part of an accumulated sick leave program. Sick leave is to be compensated uniformly to all participants					
		1	For each day of sick leave, within the same pay period but not later than the following pay period, the participant may reschedule their community service assignment with their host agency and/or other training time with the sub-recipient to accommodate the hours for which they would have been normally compensated.				
		2	In the event a host agency cannot accommodate the participant's rescheduled sick hours as described in 4114.2 (D) (1) the sub-recipient may arrange for approved activities for the participant that are consistent with their IEP. These activities are to be added to the IEP and noted in case notes.				

## 4100 – Senior Community Services Employment Program (SCSEP) - Participant Services

4114.3	D	3	If the participant is to be out due to health reasons or other personal reasons for longer than 3 days, the sub-recipient may place the participant on approved leave in accordance with 4114.3 (F). This leave must be entered in case notes and into the appropriate fields in SPARQ.				
	E	The following are not to be compensated with SCSEP funds:					
		1	Retirement system or plan contributions		2	Pension benefits	
		3	Annual leave		4	Accumulated sick leave	
		5	Bonuses				
	F	<b>Approved Breaks in Participation (Leave without pay)</b> , of no more than four weeks, may be granted to a participant when circumstances warrant it.					
		1	Written requests for <b>breaks in participation</b> must be submitted by the participant and approved by sub-recipient staff. <b>The approval</b> must include an agreed-upon date of return to the assignment.				
		2	Should the participant be unable or unwilling to return to the assignment on the agreed-upon date, his or her assignment will be terminated unless an extension is authorized by the sub-recipient staff.				
		3	Approved leave is to be documented in detail in the participant's file case notes and entered into their IEP and into SPARQ.				
		4	Sub-recipient staff are to obtain appropriate return to work documentation prior to the participant returning to their community service assignment. The documentation is to remain a part of the participant's permanent file and noted in case notes that it was received.				
4114.4	Participants may not carry over allowable benefits from one program year to the next. Unused benefits such as sick leave or holidays will not be compensated.						

## 4115 – Operational Procedures for SCSEP **Voluntary Separations**

**This voluntary separation policy shall be applied fairly and equitably to all participants. Only a sub-recipient may exit a participant from SCSEP pursuant to this policy. A copy of this policy must be received by all individuals as part of the enrollment process in accordance with policy Section 4109.8(I)**

4115.1	The following are reasons for Voluntary Separation from SCSEP:			
	A	<b>Unsubsidized Employment</b> The goal of SCSEP is to assist program participants to exit the program into unsubsidized employment. Efforts to place the participant into unsubsidized placement should begin once the participant has been determined by documented assessment and the attainment of the skills identified in the IEP, to be job-ready. Placement shall be documented on the Unsubsidized Employment Form ( <b>Exhibit 4100Q</b> ) and entered into SPARQ. Documented efforts entered into case notes are to include, but not be limited, to the following:		
		1	Coordinating with the local One-Stop to register the participant in the state's active job registry; to identify suitable, unsubsidized employment opportunities; and identify other forms of job-related assistance	
		2	Encouraging host agencies to hire qualified participants	
		3	Providing guidance to and assisting participants to contact public and private employers to identify suitable employment opportunities and arrange for interviews	
		4	Providing counseling on participant's progress identified in their IEP and in meeting their supportive service needs	
	B	<b>Voluntary termination:</b> Sub-recipients should request a written notification from the participant indicating their desire to exit the program voluntarily and include the effective date of exit (last day of participation). This written notification shall be retained in the participant's program file		
	C	<b>Moved From Area:</b> Sub-recipients should request a written notification from the participant indicating their plans to exit the program due to moving from the area. This notice is to include the effective date of exit (last day of participation). This written notification shall be retained in the participant's program file.		
	The following Voluntary Separation reasons are <u>excluded</u> from the performance measures with acceptable documentation:			
	A	Health/medical	B	Family Care
4115.2	C	Institutionalized	D	Death

## 4100 – Senior Community Services Employment Program (SCSEP) - Participant Services

4115.3	Acceptable documentation is required for exclusion from performance measures for reasons listed in 4115.2 (A-C) must be included in each qualifying participant file. Case notes are not acceptable for Health/medical or Family Care as a sole source of documentation.	
	A	Medical records or other official records are acceptable, including but not limited to:
		1 Actual medical records
		2 Physician's statement or other certification from a medical professional
		3 Letter from official at medical facility or institution
		4 Psychologist's diagnosis
		5 Rehabilitation evaluation
		6 Disability records
		7 Veteran's medical records
		8 Vocational rehabilitation letter
		9 Worker's Compensation record
		<b>OR... (Continued next page)</b>
4115.4	A	A participant signed self attestation or signed attestation from a knowledgeable third-party is acceptable. <b>OR...</b>
	B	Detailed Case Notes (Institutionalized only)- In addition to the standard requirements for all case notes, <b>to establish an exclusion for institutionalized</b> , case notes must also detail that the participant is receiving 24-hour care in a facility like a prison, skilled nursing facility or hospital and is expected to remain there for at least 90 days. Person with a disability residing in a community-based residential facility with or without long term care supports is not considered institutionalized.
4115.5	Documentation is required for exclusion from performance measures for reasons listed in 4115.2. (D) and must be included in each qualifying participant file. Case notes are not acceptable for Death as a sole source of documentation.	
	A	An official government document or other official record is acceptable, including but not limited to:
		1 Death record or certification, or
		2 Death notices published through the internet, in newspapers, and local funeral homes.
		<b>OR</b>
	B	Signed attestation from a knowledgeable third-party is acceptable.
<b>4116 – Operational Procedures for SCSEP Involuntary Terminations</b>		
This involuntary termination policy shall be applied fairly and equitably in terminating any participant. Only a sub-recipient may exit a participant from SCSEP pursuant to this policy. A copy of this policy must be received by all individuals as part of the enrollment process in accordance with policy Section 4109.8(I). Host agency supervisors may not terminate participants from the program.		
It is unacceptable to terminate/exit a participant for the following reasons:		
Participant has reached what the sub-recipient thinks is maximum improvement under the IEP and has not been able to obtain unsubsidized employment.		
Participant is unable to carry out the duties of the community service assignment		
Carelessness, negligence or incompetence		
Imposing an upper age limit for participation in the SCSEP		
4116.1	Participants who disagree with terminations described in 4116.4 may grieve the termination as described in Section 4118. When participants are terminated for "Cause" the SCSEP staff shall inform the participant in writing of the reasons for termination and of the right to grieve in accordance with required procedures described in section 4118 of this document. Notification shall be placed in the participant's permanent file.	
4116.2	When feasible, participants terminated from the SCSEP should be referred to other potential sources for assistance.	

4116.3	Participants will be given an opportunity to correct his or her behavior or conduct, or his or her failure to comply with the IEP requirements, except in cases involving serious harm or imminent threat to health, safety, property, etc. At any point, if a participant makes positive efforts or the participant's lack of action is justified, corrective action will be discontinued. The following steps for corrective action will be taken:	
	A	<p><b>Step 1: First Formal Warning</b></p> <p>If a participant displays behavior or conduct outlined in the reasons for "for-cause" terminations or refuses to comply with the IEP requirements, the participant will be given a verbal warning and counseled to correct his or her actions. Absent extenuating circumstances, the participant will be informed in writing by the sub-recipient Staff Supervisor of the requirement to correct his or her behavior or conduct.</p>
		<p><b>Step 2: Second Formal Warning</b></p> <p>When a participant for a second time displays behaviors or conduct outlined in the reasons for "for-cause" terminations or refuses to comply with the IEP requirements, the participant will be verbally warned and counseled to correct his or her actions. Absent extenuating circumstances, the sub-recipient Staff Supervisor will send the participant a written warning that he or she has 30 days from the date of the letter to correct his or her behavior or conduct. In the case of an IEP violation, the participant may be directed to complete specific IEP-related task. The written warning will include a statement that failure to make improvement or complete the IEP-related tasks will result in termination.</p>
		<p><b>Step 3: Termination</b></p> <p>When a participant does not make improvement in his or her actions or for a third time displays behavior or conduct outlined in the reasons for "for-cause" terminations, a letter will be sent notifying the participant that he or she will be exited 30 days from the date of the letter.</p>
4116.4	Participant termination must be documented to include details in case noted explaining the cause and justification of the termination. Case notes are to be maintained in the participant file. The termination is to be reported on the SCSEP Exit Form ( <b>Exhibit 4100R</b> ) and entered into SPARQ.	
4116.5	The following are reasons for involuntary terminations:	
	A	<p><b>Ineligible Due to Income</b></p>
		<p><b>1</b> Participants incorrectly declared eligible as a result of false information knowingly given by that individual. Individuals who are to be terminated for this reason are to be given immediate written notification explaining the reasons for and may terminate the participant 30 days after it has provided the participant with written notice.</p>
		<p><b>2</b> Participants found to be ineligible during recertification are to be given written notification explaining the reason for termination and terminate from the program no later than 30 days from the date of determination.</p>
		<p><b>3</b> Incorrectly determined to be eligible through no fault of the participant. A participant may be enrolled or deemed eligible for continued enrollment based on an error in determining program eligibility, e.g. income may be recorded or calculated incorrectly. When this occurs, the participant will be notified regarding the error and immediately sent a 30 day notification of termination letter. The participant will be able to continue participating in the program until the date of exit as noted in the letter.</p>
	B	<p><b>Durational Limit:</b> Terminations due to participants meeting their durational limit for SCSEP must be exited in accordance with policy Section 4107. No waivers shall be granted to extend the durational limit of participants. A 30 day written notice of termination before termination must be issued to the participant 30 days before the 48-month maximum participation date. The participant will be able to continue participating in the program until the date of exit as noted in the letter.</p>
	C	<p><b>Becoming Employed During Enrollment:</b> To qualify for enrollment in the SCSEP, a participant has to be unemployed; all participants are informed that they may not be employed while participating in the program and that they must notify the program representative immediately upon becoming employed. A participant who is discovered to be employed while enrolled without having notified the program of the employment will be terminated from the program. The participant will be placed on Leave Without Pay immediately, and a 30 day notification of termination will be sent to the participant.</p>

4116.5	D	<b>For Cause</b> Terminations for Cause are proven willful acts of misconduct and not a result of mere negligence, inadvertence, incapacity or incompetence. Sub-recipients must give the participant written notice explaining the reason(s) for termination and may terminate the participant 30 days after it has provided the participant with the written notice. A copy of the grievance procedures (Section 4118 of this policy) must be provided to the participant.	
		Participants may be placed on approved unpaid leave for situations involving fraud or serious misconduct that prohibits the participant from continuing in their community service assignment.	
		For Cause reasons for termination may include, but is not limited to the following:	
		1	Refusal to cooperate in recertifying eligibility including intentional delays in providing required documentation during the specified recertification timeframe. (30 day written notice before termination with documented attempts by the sub-recipient to identify and resolve any issues pertaining to the participants refusal)
		2	Unwillingness to comply with assigned training tasks as outlined on their IEP without good cause, including: (30 day written notice before termination with documented attempts by the sub-recipient to identify and resolve any issues pertaining to the participant's refusal)
		a	Refusal to accept training opportunities outlined in the IEP
4116.6	D	b	Refusal to accepting a new community service assignment to enhance skill development in support of IEP goals
		c	Refusal to accept supportive services that will enhance the participant's ability to participate in a community service assignment consistent with the IEP
		d	Refusal to participate in sub-recipient offered services such as, but not limited to job search or resume writing
		e	Refusal to participate in scheduled assessments or other IEP related processes
		3	Refusal to accept a suitable community service assignment that is consistent with the participant's IEP. (30 day written notice before termination with documented attempts by the sub-recipient to identify and resolve any issues pertaining to the participant's refusal)
		4	Refusal to accept three (3) job offers or referrals to unsubsidized employment consistent with the SCSEP IEP employment goal. Documentation must be included in case notes indicating employment counseling occurred addressing why job offers or referrals were refused. Extenuating circumstances that would hinder the participant from accepting unsubsidized employment must be documented in case notes. (30 day written notice before termination with documented attempts by the sub-recipient to identify and resolve any issues pertaining to the participant's refusal)
		5	Frequent tardiness. Documentation indicating specific instances of tardiness and attempted resolution from the host agency supervisor must be included in case notes and the participant's file. Accumulation of three (3) consecutive absences without notice to a designated supervisor is considered resignation from the program., (30 day written notice before termination with documented attempts by the sub-recipient to identify and resolve any issues)
		6	Falsification by the participant of time sheets or other official records. (30 day written notice before termination with detailed documentation)
		7	Insubordination including but not limited to documented instances of the unwillingness of a participant to carry out a directive from a manager or supervisor such as a verbal refusal, a nonverbal refusal or an unreasonable delay in completing work, disrespectful behavior toward a manager or supervisor including cursing at a supervisor, verbally or physically intimidating a manager or supervisor, or speaking loudly or argumentatively to or about a supervisor. (30 day written notice before termination with detailed documentation)
		8	Obscene/abusive language or behavior including sexual harassment (30 day written notice before termination with detailed documentation)
		9	Dispensing, possession or use of a controlled substance or alcohol while in the conduct of a community service assignment (30 day written notice before termination with detailed documentation)
		10	Intentional disclosure of confidential or private information obtained from the host agency, grantee or sub-recipient. (30 day written notice before termination with detailed documentation).
11	Physical violence or intentional destruction of property. (30 day written notice before termination with detailed documentation).		
12	Causing or threatening to cause an imminent threat to the health or safety of themselves or others. (30 day written notice before termination with detailed documentation).		



4116.6	<b>D</b>	13	<i>Violation of holiday, sick leave or approved break policy including failure to return from an approved break by the required date without due notice or good cause. (30 day written notice before termination with detailed documentation).</i>
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## 4117 – Operational Procedures for Employer Surveys

		The administering of employer surveys will be done in accordance with the following checklist as provided by the Charter Oak Group:			
		Checklist for Administration of Employer Survey			
4117.1	A	Activity for First Survey			
		1	For each qualified employer, sub-grantee generates cover letter to employer contact person using standard text. See <i>Letter for Unsubsidized Employers</i> . Letter is printed on sub-grantee's letterhead and signed in blue ink by the individual who made the placement and will conduct the 30-day follow-up.		
		2	Sub-grantee affixes contact person's address to mailing envelope and puts sub-grantee's return address in upper left corner.		
		3	Sub-grantee takes next survey in numerical order and enters survey number into database (field 23).		
		4	Sub-grantee assembles survey packet – cover letter, survey, return envelope (with postage stamp affixed) – and delivers it to employer contact in person at time of Follow-up 1. Mail (with postage stamp affixed) is permitted but strongly discouraged.		
		5	Sub-grantee enters date of delivering packet into database (field 23) and checks “yes” in field 26e of database.		
		6	Sub-grantee enters survey number and other necessary information into Excel spreadsheet tracking form to facilitate tracking of survey response. See <i>Employer Survey Tracking Form</i> .		
		7	Sub-grantee sends copy of tracking form to grantee to notify it that survey has been delivered.		
		8	Vendor notifies sub-grantee weekly of all surveys completed. Sub-grantee monitors vendor e-mail for 2 full weeks after delivery of first survey, i.e., two weeks after the week in which the survey is delivered, and checks numbers of completed surveys against tracking form.		
		9	If survey received, sub-grantee updates tracking form and database (field 26f).		
4117.1	B	Activity for Second Survey			
		1	If survey not received, sub-grantee calls employer contact and says that it will send another copy of survey.		
		2	Sub-grantee generates follow-up cover letter using same procedures as for first cover letter.		
		3	Sub-grantee enters new preprinted survey number into database (field 24).		
		4	Sub-grantee assembles another survey packet (follow-up cover letter, survey, <u>stamped</u> return envelope) and mails to employer contact.		
		5	Sub-grantee enters date of mailing into database (field 24).		
		6	Sub-grantee updates tracking form with survey number and other necessary information.		
		7	Sub-grantee sends tracking form to grantee to notify it that second survey has been delivered.		
		8	Vendor notifies sub-grantee weekly of all surveys completed. Sub-grantee monitors vendor e-mail for 2 weeks after mailing of second survey and checks numbers of completed surveys against tracking form.		
	9	If survey received, sub-grantee updates tracking form and database (field 26f).			
	C	Activity for Third Survey			
		1	If survey not received, sub-grantee calls grantee for instructions regarding third survey.		
		2	If third survey required, sub-grantee repeats steps 1-7 of Activity for Second Survey.		
		3	Sub-grantee monitors vendor e-mail for four (4) weeks after mailing of third survey. Sub-grantee updates database (field 26f) and tracking form to indicate whether or not survey was completed.		
4118 – Operational Procedures for SCSEP Follow-ups					
Follow-ups are required in order to obtain information needed for the performance measures, to provide case management to the newly placed participant, to establish or maintain contact with the employer, and to deliver the customer service survey to the employer.					
4118.1	Three required follow-ups are to be conducted. Results of the follow-ups are to be recorded in the SCSEP Performance and Results Quarterly System (SPARQ). Each follow-up must be completed in the program year in which the reporting quarter falls.				
4118.1	Follow-Up	Captures “Common Measure” data for	Activity Period Covered	Reporting Period Covered	Scheduled Follow-up Date



	1	Entered Employment	1 <sup>st</sup> quarter after exit quarter	1 <sup>st</sup> quarter after exit quarter	1 <sup>st</sup> day of 1 <sup>st</sup> quarter after exit quarter
	2	Retention and Average Earnings	2 <sup>nd</sup> and 3 <sup>rd</sup> quarter after exit quarter	4 <sup>th</sup> quarter after exit quarter	1 <sup>st</sup> day of 2 <sup>nd</sup> and 3 <sup>rd</sup> quarter after exit quarter
	3	Retention at 1 Year	4 <sup>th</sup> quarter after exit quarter	4 <sup>th</sup> quarter after exit quarter	1 <sup>st</sup> day of 4 <sup>th</sup> quarter after exit quarter
4118.2	Follow-up shall include, but not limited to, the following:				
	A	Determine if the job placement is an appropriate match for the participant and the employer and how satisfactory the job placement is to the participant and the employer. Should a problem be identified with the job placement, sub-recipient staff shall work with the participant and the employer to resolve the problem. This may be accomplished through the utilization of participant services described in Section 4113.4.			
	B	Identify potential SCSEP services required by the participant and/or the employer as described in this section.			
	C	Maintain contact with the participant and their employer at least quarterly within 12 months of placement. Each follow-up shall be documented on the Unsubsidized Employment Form ( <b>Exhibit 4100Q</b> ) and in case notes. Contacts shall be made based on system calculated dates in SPARQ.			
4118.3	Follow-up activities must be properly documented in the participant's file.				
	Official records that establish that any wages were earned by the participant, including but not limited to:				
	A	Written statement of earnings from employer; or pay stubs.			
	B	Signed self-attestation if employer has not provided information on wages after reasonable efforts (e.g. 3 unanswered calls or messages) were made by sub-recipient to obtain this information, participant signed self-attestation will be acceptable.			
NOTE: If a participant signed self-attestation is used, case notes must also document the sub-grantee's efforts to obtain the required information from the employer					
4118.4	Case notes must detail wages earned in a quarter and how the information was obtained.				
4119 – Operational Procedures for SCSEP (Title V) Complaints and Grievances					
Participants may grieve for the following reasons: service denial and termination.					
4119.1	A copy of the grievance procedures is to be given to new participants as part of the orientation described in Section 4110. A participant who has a complaint should be instructed to take the following actions:				
	A	Discuss the issue with appropriate personnel at the lowest level at which the complaint occurred. The SCSEP Staff Supervisor is to be immediately notified of all complaints by the Host Agency Supervisor			
	B	Sub-recipient personnel responding to an informal complaint should take the following action:			
		1	Encourage an informal resolution.		
		2	If the participant is dissatisfied with the informal resolution, the sub-recipient must inform the participant of their right to file a formal grievance.		
C	3	Regardless of the outcome of the informal complaint the sub-recipient is to document the outcome in writing and retain a copy in the participant file.			
4119.2	If the complaint cannot be resolved as outlined in 4118.1(B), the participant shall be advised to put the complaint in writing as a formal grievance. E-mails are to be considered an acceptable form of submittal of a grievance. The following steps of the formal grievance procedure must be followed and the timeframes adhered to.				
4119.3	The written formal grievance shall first be presented to the sub-recipient SCSEP Staff Supervisor. The Supervisor shall schedule an informal meeting(s) with the participant within 14 calendar days of the grievance.				
	A	If the grievance can be resolved during this meeting, the sub-recipient SCSEP Staff Supervisor shall provide written documentation of the resolution and submit the documentation to the participant and enter into the participant file.			
4119.3	B	If the grievance cannot be resolved during this meeting, the SCSEP Staff Supervisor shall schedule a meeting with the sub-recipients Director within 14 calendar days with the SCSEP Staff Supervisor and the participant.			
4119.4	The meeting shall consist of the following process to resolve the issue(s) during the meeting with the Sub-recipient Director, SCSEP Staff Supervisor, and participant:				

	<b>A</b>	The SCSEP sub-recipient Director shall facilitate the meeting and render a decision in writing to the participant within 10 calendar days following the scheduled meeting mentioned in Section 4118.3(B). The decision, including the justification for the decision shall be maintained in the participant file.
<b>4119.5</b>		The participant has the right to request an administrative review of the SCSEP sub-recipient Director's decision by the Division of Aging and Adult Services Assistant Director or designee in accordance with Arizona Administrative Code (AAC) R6-8-104 Administrative Review Procedures.
	<b>A</b>	A request for administrative review must be filed in writing within 30 days of receipt of the notice of an adverse action. The request shall be signed by the grievant or an authorized representative of the grievant and directed to:  Assistant Director Division of Aging and Adult Services Department of Economic Security P.O. Box 6123 Phoenix, Arizona 85005
	<b>B</b>	The Assistant Director or designee shall schedule an administrative review conference to meet with the grievant or a representative of the grievant. At the administrative review conference, the grievant or the grievant's representative may review pertinent evidence on which the action was based.
	<b>C</b>	The Arizona Department of Economic Division of Aging and Adult Services Assistant Director shall issue a final decision in writing within 60 days of the filing of the request for administrative review.
	<b>D</b>	The Division of Aging and Adult Services decision is final. The final written determination and related documentation will be maintained by the Division of Aging and Adult Services in accordance with SCSEP record retention policy.
<b>4119.6</b>		The participant has the right to appeal the Arizona Department of Economic Division of Aging and Adult Services final determination to the U.S. Department of Labor.
	<b>A</b>	The following language will be included as part of the Division's written decision:  <i>Notice to Complaint ant of Further Right of Appeal to the U.S. Department of Labor"</i>  If you are not satisfied with this final determination of your grievance by the Arizona Department of Economic Security/Divisions of aging and Adult Services, you may appeal to the U.S. Department of Labor (DOL) within 30 calendar days for the date for this determination. However, DOL's only authority is to determine whether the Arizona Department of Economic Security/Divisions of Aging and Adult Services' grievance procedures were followed correctly, or if there were any allegations of violations of Federal law (other than civil rights law) that have not been resolved within 60 days under the Arizona Department Economic Security/Divisions of Aging and Adult Services' procedures.  If you intend to file an appeal to DOL, send a copy of this final determination, your statement of appeal, and any supporting documentation within 30 calendar days to:  Chief, Division of Adult Services 200 Constitution Avenue NW Room S-4209 Washington, D.C 20210
<b>4119.6</b>	<b>B</b>	Questions about, or complaints alleging a violation of, the nondiscrimination requirements of title VI of the Civil Rights Act of 1964, § 504 of the Rehabilitation Act of 1973, § 188 of the Workforce Investment Act of 1998 (WIA), or their implementing regulations, must be directed or mailed to:  Director, Civil Rights Center, U.S. Department of Labor, Room N-4123, 200 Constitution Avenue, NW., Washington, DC 20210.
<b>4120 – Operational Procedures for SCSEP Participant File Maintenance</b>		
<b>4120.1</b>		Participant files must be maintained in accordance with the requirements for confidentiality outlined in the Division of Aging and Adult Services Policy and Procedures Manual Chapter 1000.

	<b>A</b>	All information regarding the individual and their families obtained through program forms, interviews, assessments, evaluations, and other related activities, is confidential and must be retained in accordance with section 4120 of this policy document.
	<b>B</b>	Confidential information may not be revealed without the permission of the program participant.
	<b>C</b>	Such information should only be divulged as necessary for purposes related to the performance or evaluation of the project and only to persons having official responsibilities to the extent necessary for proper administration of the program (e.g., host agency supervisors and training related IEP information).
<b>4120.2</b>	Case notes are required to be maintained in the participant's case file by the sub-recipient staff:	
	<b>A</b>	Case notes documenting at a minimum but not limited to the following information:
		<b>1</b> Most in need factors
		<b>2</b> Supportive service referrals
		<b>3</b> Counseling reports
		<b>4</b> Job development efforts made and the results of those efforts
		<b>5</b> Follow-up to unsubsidized placements
		<b>6</b> Other participant related activities
	<b>B</b>	Case notes must be understandable and legible. At a minimum, each case note entry must contain the following elements
		<b>1</b> The date of entry of the case note
		<b>2</b> The name or initials of the staff person making the case note entry
		<b>3</b> Reference to corresponding/supporting documentation that may be found elsewhere as part of the participant file
<b>4120.3</b>	In addition to case notes and eligibility determination documentation as outlined in Section 4105, the following documentation must be maintained in each participant's file. Corresponding screen prints from SPARQ are acceptable in lieu of printed forms for items 4119.3 (A), 4119.3 (H), 4119.3 (L) and 4119.3 (M). Signature requirements apply for all forms documented as screen prints.	
	<b>A</b>	Participant Form ( <b>Exhibit 4100D</b> )
	<b>B</b>	Attestation Forms ( <b>Exhibits 4100B (Self) and 4100C (Third party)</b> )
	<b>C</b>	Applicant's Confidential Statement of Income ( <b>Exhibit 4100E</b> )
	<b>D</b>	I-9 Employment Eligibility Verification ( <b>Exhibit 4100J</b> )
	<b>E</b>	SCSEP Participant Handbook Acknowledgement Form ( <b>Exhibit 44100K, Spanish 4100L</b> )
	<b>F</b>	Physical Examination Statement ( <b>Exhibit 4100M</b> )
	<b>G</b>	SCSEP Assessment Guide ( <b>Exhibit 4100H</b> )
	<b>H</b>	Individual Employment Plan ( <b>Exhibit 4100N</b> )
	<b>I</b>	Community Service Assignment Form ( <b>Exhibit 4100I</b> ), work schedules and time sheets
	<b>J</b>	SCSEP Community Service Assignment Description Form ( <b>Exhibit 4100O</b> )
	<b>K</b>	Participant Evaluation ( <b>Exhibit 4100S</b> )
	<b>L</b>	Host Agency Supervisor Evaluation Form ( <b>Exhibit 4000G</b> )
	<b>M</b>	Unsubsidized Employment Form ( <b>Exhibit 4100Q</b> )
	<b>N</b>	Exit Form ( <b>Exhibit 4100R</b> )
<b>4121 – Operational Procedures for Storage of Confidential Information and Record Retention</b>		
<b>4121.1</b>	The sub-recipient and host agencies shall ensure the confidentiality of participant information. Confidential information shall be maintained in locked files. If electronic records are utilized, confidential information must be secured.	
<b>4121.2</b>	All required documentation, both fiscal and programmatic, must be retained for three program years after the end of the program year in which the document was generated. For participants who enter unsubsidized employment after exiting the program, <b>this means three program years</b> after the end of the program year in which all follow-up activity is ended.	
<b>4121.3</b>	If documentation is missing, reasonable steps must be taken to recreate the required information. If documents are recreated, case notes should be documented in detail in accordance with 4119.2 (A-C) to identify action taken.	

## 4100 – Senior Community Services Employment Program (SCSEP) – Participant Services

### 4121 – Operational Procedures for Programmatic Reporting

4121.1	The sub-recipient staff shall ensure data is collected for SCSEP services for its respective service area. Unless otherwise approved by the Division of Aging and Adult Services, SCSEP will utilize the following forms for programmatic reporting:	
	<b>A</b>	SCSEP Performance and Results Quarterly Progress Report (SPARQ/QPR) ( <b>Exhibit 4100T</b> )
	<b>B</b>	All reports available in SPARQ listed under the following Management Reports categories:
		<b>1</b> Applicants
		<b>2</b> Participants
		<b>3</b> Follow-ups
		<b>4</b> Host Agencies
		<b>5</b> Employers
		<b>6</b> Durational Limits
		<b>7</b> Any other newly developed reports
4121.2	All data, including quarterly community service hours must be accurately entered in the SPARQ to ensure timely calculation and production of the QPR based on quarterly processing deadlines established by the U.S. Department of Labor.	
4121.3	All rejected records must be corrected prior to SPARQ shutdown for quarterly processing.	
4121.4	Indicators of SCSEP performance are measured utilizing the following:	
	<b>A</b>	Core Indicators:
		<b>1</b> Hours in the aggregate of community service
		<b>2</b> Entry into unsubsidized employment Common Measure Entered Employment
		<b>3</b> Retention in unsubsidized employment for six (6) months
		<b>4</b> Earnings
		<b>5</b> The number of eligible individuals served
		<b>6</b> Most in need
	<b>B</b>	Additional Indicators:
		<b>1</b> Retention in unsubsidized employment for one (1) year
		<b>2</b> Satisfaction of the participants, employers and host agencies with their experiences and the services provided
		<b>3</b> Any other indicators of performance that the Secretary of Labor determines to be appropriate to evaluate services and performance.
	<b>C</b>	An average participation cap of not more than 27 months for all eligible individuals (in the aggregate) within a contracted service area.
<b>EXHIBITS</b>		
4100A	Data Collection Handbook	
4100B	Self Attestation Forms	
4100C	Third Party Attestation Forms	
4100D	Participant Form	
4100E	Applicant's Confidential Statement of Income	
4100F	Request for a Durational Limit Waiver	
4100G	Host Agency Supervisor's Evaluation Form	
4100H	SCSEP Assessment Guide	
4100I	Community Service Assignment Form	
4100J	I-9 Employment Eligibility Verification	
4100K	Participant Handbook	
4100L	Participant Handbook, Spanish (Manual Para El Participante)	
4100M	Physical Examination Statement	
4100N	Individual Employment Plan	
4100O	Community Service Assignment Description Form	
4100P	Request for Supportive Services Form	
4100Q	Unsubsidized Employment Form	
4100R	SCSEP Exit Form	
4100S	Participant Evaluation Form	
4100T	SCSEP Performance and Results Quarterly Progress Report (SPARQ/QPR)	